

Zone-Boundary Phonon Induced Mini Band Gap Formation in Graphene

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(Dated: January 9, 2013)

We investigate the effect of electron- A_{1g} phonon coupling on the gapless electronic band dispersion of the pristine graphene. The electron-phonon interaction is introduced through a Kekulé-type distortion giving rise to inter-valley scattering between K and K' points in graphene. We develop a Frölich type Hamiltonian within the continuum model in the long wave length limit. By presenting a fully theoretical analysis, we show that the interaction of charge carriers with the highest frequency zone-boundary phonon mode of A_{1g} -symmetry induces a mini band gap at the corners of the two-dimensional Brillouin zone of the graphene. Since electron-electron interactions favor this type of lattice distortion, it is expected to be enhanced, and thus its quantitative implications might be measurable in graphene.

PACS numbers: 71.38.-k,63.22.Rc,72.80.Vp,78.30.Na

I. INTRODUCTION

Since the discovery of graphene^{1,2} and its unconventional physical properties, the investigation of electronic properties of both graphene and graphene based nanostructures have become one of the active areas in condensed matter physics experimentally as well as theoretically, in past few years. Theoretically, in the low-energy limit charge carries of graphene have linear dispersion relation around so-called Dirac points³ having Fermi velocity⁴ $v_F \simeq 10^6$ m/s, and Dirac-Weyl equation can be safely used within the framework of continuum description of the electronic band structure of the graphene⁵.

It is also well-known that both in-plane and out-of-plane phonon modes play an important role in charge carriers dynamics of the graphene^{6–31}. On the one hand the Fermi velocity is reduced by interaction of charge carriers with doubly degenerate in-plane E_{2g} phonon^{27,28}. On the other hand, though the electron-highest frequency zone-boundary phonon interaction, i.e., Kekulé-type distortion of the graphene lattice is one of the possible mechanisms among the gap generations, except that the work of Ref.16, there are no theoretical works about its influence on the graphene band dispersion. This first theoretical prediction of dynamical mini band gap formation in graphene due to the highest frequency phonon mode with A_{1g} -symmetry is reported by Samsonidze et al.¹⁶. They showed that, based on a simple tight-binding model at room temperature, such as electron-phonon coupling mechanism induces a mini gap around 10 meV, and it is also responsible for the Kohn anomalies^{32,33} in graphene. The Kekulé structure consists of a network of hexagons with the alternating short and long bonds like in the classical benzene molecule. This pattern was studied for 1D simple model, finite size carbon nanotubes^{34,35}. Investigation of the gap formation, in particular, its control, in both graphene and graphene based nanostructures is itself one of the hot topics of the current research in graphene, and such a gap generation can be created by strain^{36–38} or by substrate induced effects^{10,39,40}.

In this paper, to investigate the effect of interaction of graphene charge carriers with the highest frequency opti-

cal phonon mode of A_{1g} symmetry near the zone boundary K (K'), we performed an analytical study based on Lee-Low and Pines (LLP) theory⁴¹. The carrier-phonon interaction is described through a Kekulé-type distortion giving rise to inter-valley scattering between K and K' points in graphene^{42–46}. Based on this interaction, we first construct a Frölich type Dirac-Weyl Hamiltonian which is nondiagonal in phonon creation and annihilation operators. Secondly, we present a simple analytical model to diagonalize it by just introducing two successive unitary transformations. Finally, we show that the interaction of charge carriers with highest zone boundary phonon mode opens a mini band gap at the corners of the Brillouin zone.

II. THEORY

In the long-wave length regime, the Hamiltonian of the graphene electron (hole) interacting with A_{1g} -phonon mode can be written as

$$\mathcal{H} = \mathcal{H}_0 + \sum_{\mu \neq \nu} \sum_{\mathbf{q}} \hbar \omega_{\mu}(\mathbf{q}) b_{\mu,\mathbf{q}}^{\dagger} b_{\mu,\mathbf{q}} + \mathcal{H}_{e-p} \quad (1)$$

where $\mathcal{H}_0 = v_F \boldsymbol{\alpha} \cdot \mathbf{p}$ is the unperturbed part, whose spectrum describes cone like behavior around the Dirac points with eigenvalues $\epsilon_{k\lambda} = \lambda v_F k$. λ is the chirality index, and takes $-1(+1)$ values corresponding to valence (conduction) bands in pristine graphene. These two bands touch each other at the corners of the Brillouin zone, i.e., at the well-known K and K' points whose coordinates are given by $\mathbf{K} = (2\pi/a)(1/3, 1/\sqrt{3})$ and, $\mathbf{K}' = (2\pi/a)(2/3, 0)$, respectively. We have labeled these points in Eq.(1) by the valley index μ . Here, $\boldsymbol{\alpha}$ are the four component Dirac matrices, and a is the equilibrium bond length, i.e., 1.42 Å. Thus, the corresponding eigenfunctions of the unperturbed part \mathcal{H}_0 can easily be constructed in terms of four component pseudospinors

$$\begin{aligned}\langle r | K \lambda \mathbf{k} \rangle &= \frac{\exp(i\mathbf{k} \cdot \mathbf{r})}{\sqrt{2L}} \begin{pmatrix} \lambda \\ e^{i\theta(\mathbf{k})} \\ 0 \\ 0 \end{pmatrix} \\ \langle r | K' \lambda \mathbf{k} \rangle &= \frac{\exp(i\mathbf{k} \cdot \mathbf{r})}{\sqrt{2L}} \begin{pmatrix} 0 \\ 0 \\ e^{i\theta(\mathbf{k})} \\ \lambda \end{pmatrix},\end{aligned}\quad (2)$$

where L^2 is the total area of the system. In Eq.(1), the last term represents the electron- phonon couplings⁴⁵, and is given by

$$\mathcal{H}_{e-p} = 2 \frac{\beta_K \gamma}{a^2} \begin{pmatrix} 0 & \omega^{-1} \Delta_{K'}(\mathbf{r}) \sigma_y \\ \omega \Delta_K(\mathbf{r}) \sigma_y & 0 \end{pmatrix} \quad (3)$$

where $\beta_K = -d \ln J_0 / d \ln a$, $\gamma = (3a/2) J_0$, $\omega = \exp(2\pi i/3)$, J_0 is the resonance integral between nearest neighbor carbon atoms which is of order of 2.77 eV, σ_y is the 2×2 Pauli matrix. In Eq.(3), the amplitude of distortions at K and K' points are defined by

$$\begin{aligned}\Delta_K(\mathbf{r}) &= \sum_{\mathbf{q}} \sqrt{\frac{\hbar}{2NM_C\omega_K(\mathbf{q})}} (b_{K,\mathbf{q}} + b_{K',-\mathbf{q}}^\dagger) e^{i\mathbf{q} \cdot \mathbf{r}} \\ \Delta_{K'}(\mathbf{r}) &= \sum_{\mathbf{q}} \sqrt{\frac{\hbar}{2NM_C\omega_K(\mathbf{q})}} (b_{K',\mathbf{q}} + b_{K,-\mathbf{q}}^\dagger) e^{i\mathbf{q} \cdot \mathbf{r}}\end{aligned}\quad (4)$$

respectively. N is the number of unit cells, M_C is the mass of a carbon atom. In Eq.(4), $b_{K,\mathbf{q}}$ ($b_{K',\mathbf{q}}$) and $b_{K,\mathbf{q}}^\dagger$ ($b_{K',\mathbf{q}}^\dagger$) are the phonon creation and annihilation operators at points K (K') with phonon wave vector \mathbf{q} and frequency $\omega_K(\mathbf{q})$. The corresponding highest zone-boundary phonon energy is $\hbar\omega_K(0) = 161.2$ meV. Therefore, the electron-phonon interaction Hamiltonian given by Eq.(3) can be conveniently rewritten in the following form:

$$\mathcal{H}_{e-p} = - \sum_{\mu \neq \nu} \sum_{\mathbf{q}} [\tilde{M}_{\mu\nu} b_{\mu,\mathbf{q}} e^{i\mathbf{q} \cdot \mathbf{r}} + \text{h.c.}] . \quad (5)$$

We have defined $\tilde{M}_{\mu\nu}$ as $M_0 M_{\mu\nu}$ such that

$$\begin{aligned}M_{KK'} &= \frac{\omega}{\sqrt{N}} \begin{pmatrix} \mathbf{0} & \mathbf{0} \\ \sigma_y & \mathbf{0} \end{pmatrix}, \\ M_{K'K} &= \frac{\omega^{-1}}{\sqrt{N}} \begin{pmatrix} \mathbf{0} & \sigma_y \\ \mathbf{0} & \mathbf{0} \end{pmatrix},\end{aligned}$$

together with $M_0 = 3a_0 q_0 J_0$. Here, $a_0 = (\hbar/2M_C\omega_K(0))^{1/2}$, and $q_0 = (\partial J_0 / \partial a) / J_0$ is predicted^{47,48} around 2.0 \AA^{-1} and 2.5 \AA^{-1} .

To diagonalize the phonon subsystem of Eq.(1) through Eq.(5) we employ a unitary transformation

scheme within the LLP theory. This includes two successive transformations each of which eliminates the electron coordinates from Eq.(1), and shifts phonon coordinates by an amount of the interaction strength, respectively. To do this we follow the method developed for the investigation of the interaction of electron (hole) with doubly degenerate optical phonon modes of E_{2g} symmetry near the zone center²⁷, wherein an ansatz was made so as to take into account chiral nature of the pristine graphene due to its gapless electronic band structure. However, besides the chiral nature of the problem, one must also consider that the zone boundary phonon gives rise to inter-valley scattering between K and K'. Therefore, to be compatible with these properties of the problem, we make an ansatz for the ground-state of the whole system.

$$|\Phi\rangle = \sum_{\mu' \neq \nu'} \sum_{\lambda'} \alpha_{\pm}^{\mu'\lambda'} |\mu' \lambda' \mathbf{k}\rangle \otimes U_1 U_2 |\mathbf{0}\rangle_{\text{ph}} \quad (6)$$

such that $\mathcal{H} |\Phi\rangle = E_{\pm} |\Phi\rangle$. Here, $|\mathbf{0}\rangle_{\text{ph}}$ stands for the phonon vacuum, and $\alpha_{\pm}^{\mu'\lambda'} |\mu' \lambda' \mathbf{k}\rangle$ corresponds to electronic state vector defined through the appropriate fractional amplitudes, $\alpha_{\pm}^{\mu'\lambda'}$, due to the fact that total wave function of the system must be the linear combination of $|\mu' + \mathbf{k}\rangle$ and $|\mu' - \mathbf{k}\rangle$, respectively.

On the one hand, the first unitary transformation

$$U_1 = \exp \left[-ir \cdot \sum_{\mathbf{q}} \mathbf{q} b_{\mu,\mathbf{q}}^\dagger b_{\mu,\mathbf{q}} \right] \quad (7)$$

eliminates electron coordinates from Eq.(1), since the transformed operators are given by the relations, $\tilde{b}_{\mu,\mathbf{q}} = b_{\mu,\mathbf{q}} \exp[-i\mathbf{q} \cdot \mathbf{r}]$ and $\tilde{\mathbf{p}} = \mathbf{p} - \sum_{\mathbf{q}} \sum_{\mu \neq \nu} \hbar \mathbf{q} b_{\mu,\mathbf{q}}^\dagger b_{\mu,\mathbf{q}}$. Therefore, the transformed Hamiltonian takes the form,

$$\begin{aligned}\tilde{\mathcal{H}} &= v_F \boldsymbol{\alpha} \cdot \left(\mathbf{p} - \hbar \sum_{\mathbf{q}} \sum_{\mu \neq \nu} \mathbf{q} b_{\mu,\mathbf{q}}^\dagger b_{\mu,\mathbf{q}} \right) \\ &\quad + \sum_{\mathbf{q}} \sum_{\mu \neq \nu} \hbar \omega_K b_{\mu,\mathbf{q}}^\dagger b_{\mu,\mathbf{q}} - \sum_{\mathbf{q}} \sum_{\mu \neq \nu} (\tilde{M}_{\mu\nu} b_{\mu,\mathbf{q}} + \text{h.c.}) .\end{aligned}\quad (8)$$

On the other hand, second unitary transformation

$$U_2 = \exp \left[\sum_{\mathbf{q}} \tilde{M}_0 \langle \mu' \lambda' \mathbf{k} | M_{\mu\nu}^\dagger | \nu' \lambda' \mathbf{k} \rangle b_{\mu,\mathbf{q}}^\dagger - \text{h.c.} \right] \quad (9)$$

is the well-known displaced oscillator transformation which shifts phonon coordinates by an amount of the interaction amplitude, $\tilde{M}_0 = M_0 / \hbar \omega_K(0)$. It just shifts the phonon coordinates, since it generates the coherent states for the phonon subsystem such that optical phonon operators transform according to the rule $\tilde{b}_{\mu,\mathbf{q}} = b_{\mu,\mathbf{q}} + \tilde{M}_0 \langle \mu' \lambda' \mathbf{k} | M_{\mu\nu}^\dagger | \nu' \lambda' \mathbf{k} \rangle$. As a result, under the transformation U_2 , Eq.(8) can then be written as $\tilde{\mathcal{H}} = \mathcal{H}^0 + \mathcal{H}_1$, where \mathcal{H}^0 and \mathcal{H}_1 are given by

$$\mathcal{H}^0 = v_F \boldsymbol{\alpha} \cdot \left(\mathbf{p} - \hbar \sum_{\mathbf{q}} \sum_{\mu \neq \nu} \left| \tilde{M}_0 \right|^2 \mathbf{q} \left| \langle \delta \lambda' \mathbf{k} | M_{\mu\nu}^\dagger | \zeta \lambda \mathbf{k} \rangle \right|^2 \right) + \sum_{\mathbf{q}} \sum_{\mu \neq \nu} \left| \tilde{M}_0 \right|^2 \hbar \omega_K \left| \langle \delta \lambda' \mathbf{k} | M_{\mu\nu}^\dagger | \zeta \lambda \mathbf{k} \rangle \right|^2 - \sum_{\mathbf{q}} \sum_{\mu \neq \nu} \left[\left| \tilde{M}_0 \right|^2 \hbar \omega_K M_{\mu\nu} \left| \langle \delta \lambda' \mathbf{k} | M_{\mu\nu}^\dagger | \zeta \lambda \mathbf{k} \rangle \right|^2 + \text{h.c.} \right] + \sum_{\mathbf{q}} \sum_{\mu \neq \nu} [\hbar \omega_\mu(\mathbf{q}) - \hbar v_F \boldsymbol{\alpha} \cdot \mathbf{q}] b_{\mu,\mathbf{q}}^\dagger b_{\mu,\mathbf{q}}, \quad (10)$$

and

$$\mathcal{H}_1 = \sum_{\mathbf{q}} \sum_{\mu \neq \nu} \left\{ \left[M_{\mu\nu} + [\hbar \omega_\mu(\mathbf{q}) - \hbar v_F \boldsymbol{\alpha} \cdot \mathbf{q}] \tilde{M}_0 \langle \mu' \lambda' \mathbf{k} | M_{\mu\nu} | \nu' \lambda \mathbf{k} \rangle \right] b_{\mu,\mathbf{q}} + \text{H.c.} \right\}, \quad (11)$$

respectively. Therefore, one applies the phonon vacuum to the sum of Eq.(10) and Eq.(11), only the contribution comes from the diagonalized part , i.e. from \mathcal{H}^0 . By using the ansatz given by Eq.(6) , one first applies Eq.(10) to the term $\alpha_{\pm}^{\mu'\lambda'} | \mu' \lambda' \mathbf{k} \rangle$, and then sums over λ' to con-

struct the eigenvalue equation $\mathcal{H} | \Phi \rangle^{\mu\nu\lambda} = E_{\pm} | \Phi \rangle^{\mu\nu\lambda}$. Finally, by taking inner products to compare the related coefficients of the states $| \mu' \lambda' \mathbf{k} \rangle$ we arrive four simultaneous equations for $\alpha_{\pm}^{\mathbf{K}+}$, $\alpha_{\pm}^{\mathbf{K}-}$, $\alpha_{\pm}^{\mathbf{K}'+}$ and $\alpha_{\pm}^{\mathbf{K}'-}$ which can be rewritten in the following matrix equation:

$$\begin{bmatrix} E_{\pm} + \Sigma_{++}^{(0)\text{KK}} & \Sigma_{--}^{(1)\text{KK}} & \Sigma_{++}^{(2)\text{KK}'} & \Sigma_{+-}^{(2)\text{KK}'} \\ \Sigma_{++}^{(1)\text{KK}} & E_{\pm} + \Sigma_{--}^{(0)\text{KK}} & \Sigma_{-+}^{(2)\text{KK}'} & \Sigma_{-+}^{(2)\text{KK}'} \\ \Sigma_{++}^{(2)\text{K}'\text{K}} & \Sigma_{+-}^{(2)\text{K}'\text{K}} & E_{\pm} + \Sigma_{++}^{(0)\text{K}'\text{K}'} & \Sigma_{-+}^{(1)\text{K}'\text{K}'} \\ \Sigma_{-+}^{(2)\text{K}'\text{K}} & \Sigma_{--}^{(2)\text{K}'\text{K}} & \Sigma_{++}^{(1)\text{K}'\text{K}'} & E_{\pm} + \Sigma_{--}^{(0)\text{K}'\text{K}'} \end{bmatrix} \begin{bmatrix} \alpha_{\pm}^{\mathbf{K}+} \\ \alpha_{\pm}^{\mathbf{K}-} \\ \alpha_{\pm}^{\mathbf{K}'+} \\ \alpha_{\pm}^{\mathbf{K}'-} \end{bmatrix} = 0 \quad (12)$$

with elements

$$\begin{aligned} \Sigma_{\mp\mp}^{(0)\text{KK}} &= \pm \hbar v_F k + \sum_{\mathbf{q}} \sum_{\mu \neq \nu} \left| \tilde{M}_0 \right|^2 \Delta_{\mp\mp}^{\text{KK}} \left[\frac{1}{2} \hbar v_F q \Theta_{\mp\mp} + \hbar \omega_K \right] \\ \Sigma_{\mp\mp}^{(1)\text{KK}} &= \sum_{\mathbf{q}} \sum_{\mu \neq \nu} \left| \tilde{M}_0 \right|^2 \Delta_{\mp\mp}^{\text{KK}} \left[\hbar v_F q \Delta_{\mp\mp}^{\text{KK}} \Theta_{\mp\mp} + 2 \hbar \omega_K \Delta_{\mp\mp}^{\text{KK}} \right] \\ \Sigma_{\lambda\lambda'}^{(2)\text{KK}'} &= 2 \hbar \omega_K \sum_{\mathbf{q}} \sum_{\mu \neq \nu} \left| \tilde{M}_0 \right|^2 \Delta_{\lambda\lambda'}^{\text{KK}'}. \end{aligned} \quad (13)$$

where we have defined $\Theta_{\lambda\lambda'}$ as

$$\Theta_{\lambda\lambda'} = \frac{1}{2} [(s + s') \cos(\theta - \varphi) - (s - s') \sin(\theta - \varphi)] \quad (14)$$

together with the matrix elements

$$\Delta_{\lambda\lambda'}^{\zeta\zeta'} = \left| \langle \zeta' \lambda' \mathbf{k} | M_{\mu\nu} | \zeta \lambda \mathbf{k} \rangle \right|^2 \quad (15)$$

which are equal to unity for $\zeta \neq \zeta'$ and $\lambda \neq \lambda'$, otherwise zero. This shows that only inter-valley scattering having different chiralities are allowed due to the conservation of the chiral symmetry . In Eq.(14), $\theta(\phi)$ are the azimuthal angle of the momentum $\mathbf{k}(\mathbf{q})$. After converting the sums in Eq.(13) into integrals over \mathbf{q} , i.e.,

$\sum_{\mathbf{q}} \rightarrow (S/4\pi^2) \int d^2 \mathbf{q}$, where $S = NS_0$ is the area of the system, and the area of the unit cell is $S_0 = 3\sqrt{3}a^2/2$, it is easy to see that, except for $\Sigma_{\mp\mp}^{(2)\text{KK}'}$ and $\Sigma_{\mp\mp}^{(2)\text{K}'\text{K}}$ terms, all the terms with $\Sigma_{\mp\mp}^{(0)\text{KK}}$, $\Sigma_{\mp\mp}^{(1)\text{KK}}$ and their corresponding K' partners vanish. The non-vanishing terms can easily be calculated as

$$\Sigma_{\mp\pm}^{(2)\text{KK}'} = \Sigma_{\mp\pm}^{(2)\text{K}'\text{K}} = \frac{3\sqrt{3}}{\pi} J_0 \alpha_0 \bar{q}_c^2 \quad (16)$$

where we have defined that $\alpha_0 = |M_0|^2 / 4J_0 \hbar \omega_K(0)$ which takes values 0.305 or 0.477 depending on whether q_0 is 2.0 \AA^{-1} or 2.5 \AA^{-1} , respectively^{47,48}. We must introduce an upper cut-off frequency $\bar{q}_c = q_c a$, while taking the integrals in Eq.(13), since they diverge at upper limit of the integrations. By solving the determinant of the matrix in Eq.(12) the eigenvalues E_{\pm} can be solved analytically in the following form:

$$E_{\pm} = \pm \left[(\hbar v_F \mathbf{k})^2 + \left(\Sigma_{\mp\pm}^{(2)\text{KK}'} \right)^2 \right]^{1/2}, \quad (17)$$

which is modified electronic band dispersion of the pristine graphene by the gap due to the Kekulé-type distor-

tion of the lattice. As is seen from Eq.(17), Kekulé-type distortion preserves the chirality of the sublattice, i.e., the valley degeneracy is not lifted. Since the calculations we have done are restricted by the energy scale near to the phonon resonance, i.e., ω_K , we can choose $q_c = \omega_K/v_F = 0.027 \text{ \AA}^{-1}$ such that $\bar{q}_c = q_c a = 0.039$. This suggest that the magnitude of the half-band gap is of order of 2.12 meV ($q_0 = 2.0 \text{ \AA}^{-1}$) or 3.34 meV ($q_0 = 2.5 \text{ \AA}^{-1}$), so that the induced gap, of 4.24 meV or 6.68 meV. This is smaller than that those previously found in the literature¹⁶, where a mini band gap occurs 10 meV in their room temperature calculations.

III. CONCLUSION

In conclusion, we present, to the best our knowledge, the first theoretical justification of a mini band gap formation in pristine graphene at absolute zero temperature, due to the interaction of electron (hole) with highest frequency optical phonon mode with A_{1g} symmetry near the zone boundary yielding Kekulé type distortion. We have shown that such an interaction opens a gap without breaking the chiral symmetry of the lattice. Although, we have performed our calculations at absolute

zero, it is compatible with those found at room temperatures for both graphene and zig-zag single walled carbon nanotubes³³. In the graphene literature, there are only two theoretical works^{46,49} and no experimental work devoted to the investigation of combined effects of electron-electron interaction and electron- A_{1g} phonon interaction. On the one hand, since the electron repulsion breaks the sublattice symmetry whereas the Kekulé patterned lattice distortion restores it, it is predicted in Ref. 46 that , taking such competing interactions, superconducting order maybe have to be considered. On the other hand, Giuliani et al.⁴⁹ predicted that the electron repulsion enhances dramatically, the gaps due to the Kekulé distortion. We believe that the results of this paper may be useful for understanding the role of electron-electron interactions in graphene.

ACKNOWLEDGMENTS

We thank Professor T. Altanhan for valuable discussions. The authors gratefully acknowledge the support from the Research Projects of Ankara University under grant No. 12B4240009.

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